Hermes

MAKING SENSE OF SDR FILES

MONITORING YOUR PERFORMANCE

Version 2.4 March 2015

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Manual Version Control

Version	*Release Date*	*Status*	*References*
1.0	27-02-2012	Original production release.	• 2012 SDR Manual version 1.0 – Ministry of Education • Educational Performance Indicators Definitions and Rules Version 4.0 – TEC.
1.1	15-03-2012	Added SDR validation error checking and backup.	As above. Plus Guide to Completing your SDR and TEC STEO available on the *Downloads* page on the STEO web site.
1.2	11-04-2012	Implemented TEC 100% maximum QC rule.	As above Email from Bryce Cleland of TEC dated 11-04-2012
1.3	07-05-2012	Excel audit files and report filters. Co-incides with release of version 1.05 of Hermes.	As above
1.4	03-08-2012	New qualification filter plus two extra file tests.	• 2012 SDR Manual version 1.0 – Ministry of Education • Educational Performance Indicators Definitions and Rules Version 5.0 – TEC.
1.5	18-08-2012	New Excel export for SDR validation errors.	As above
1.6	03-10-2012	New date, ethnicity and age filters. New combined report.	As above.

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1.7	29-08-2013	Site code allocation in qualification completion audit	• 2013 SDR Manual version 1.1 – Ministry of Education • Educational Performance Indicators Definitions and Methodology Version 6.0 – TEC.
1.8	29-01-2014	Clarifies Hermes handling of deleted cross year enrolments.	Email from Doreen Sua of TEC dated 23-12-2013.
1.9	18-02-2014	"Lost enrolments" test reversed to check prior year records against selected year.	Email from Doreen Sua of TEC dated 23-12-2013.
2.0	10-04-2014	Introduces check against TEC data accuracy CSV files	Data Accuracy files in TEC Workspace, Analyse My Performance
2.1	02-05-2014	Corrected description of EFTS values as key field.	As above.
2.2	20-06-2014	Qualification type, course and qualification titles, site codes, additional plan commitments report, QC funding source in denominator.	Clients specifications
2.3	22-11-2014	New Appendix for Lincoln import management	Clients specification
2.4	10-03-2015	Australian Residency Added	2015 SDR Manual

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WHAT'S NEW IN THIS MANUAL

What's new	Hermes is frequently updated. The Manual Version Control on the preceding page provides a record of manual updates. The following notes provide more information on what is new in Hermes and provide links to the relevant sections of the user manual. If you are new user of Hermes you will need to read the rest of the manual!
New in version 1.04 and 1.05.	• Importing error and warning CSV files from the STEO validation. Plain English reports and the ability to group errors by site code – a great time-saver if you have multiple campuses. Click here to see more information. • Funding and site code filters have been introduced for the EPI and Participation reports. Find out which of your campuses is doing a good job and which one needs a shake-up. Click here to see more information. • Excel audit reports have been introduced for EPI reports. These reports allow you to see the individual items of data being counted by Hermes to produce the EPI ratios. Click here to see more information.
New in version 1.06	• A new qualification filter has been added for the EPI reports. • Two new tests have been added to the *Test SDR Files* form: "lost course enrolments" and "qualification completion year conflicts". • The file checking in process has been streamlined so that SDR data imports extremely quickly.
New in version 1.07	• New filters for the EPI reports for ethnicity, age ("under 25"), As At date, and start date. • Combined report that brings together SCC, QC, and SR in a single table and provides additional grouping options.
New in version 1.08	• Addition of section relating to cross year enrolments.
New in Version 2.0	• Addition of functionality to match SDR files to Data Accuracy CSV files. Click here to see more
New in version 2.2	• Addition of qualification type, course and qualification titles, and site codes for audit Excel files • Additional table in plan commitments report, • Addition of funding source in QC denominator Excel file.
New in 2.4	• Australian Residency imported from 2015.

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INTRODUCTION

SDR files

Your student management system produces Single Data Return (SDR) files every four months. You submit them to the Ministry of Education. The Ministry passes on data to the Tertiary Education Commission (TEC).

TEC uses the data to monitor your performance and this can affect your funding.

SDR files aren't that easy to read.

```
1402201125052011          0010101N  A103  0921030.03330.0000 0.0083 0.00
1402201125052011          0010101N  A103  0921030.05830.0000 0.0145 0.01
1402201125052011          0010101N  A103  0921030.06670.0000 0.0166 0.01
1402201125052011          0010101N  A103  0921030.07500.0000 0.0187 0.01
1402201125052011          0010101N  A103  0921030.07500.0000 0.0187 0.01
1402201125052011          0010101N  A103  0921030.04170.0000 0.0104 0.01
0703201117062011          0010101N  A103  0921030.03330.0000 0.0000 0.00
0703201117062011          0010101N  A103  0921030.05830.0000 0.0000 0.01
0703201117062011          0010101N  A103  0921030.06670.0000 0.0000 0.01
0703201117062011          0010101N  A103  0921030.07500.0000 0.0000 0.01
0703201117062011          0010101N  A103  0921030.07500.0000 0.0000 0.01
0703201117062011          0010101N  A103  0921030.04170.0000 0.0000 0.01
1001201129042011          0010101N  A103  0921010.10000.0250 0.0250 0.02
1001201129042011          0010101N  A103  0921010.24160.0604 0.0604 0.06
0604201129072011          0010101N  A103  0921030.16670.0000 0.0000 0.00
```

What Hermes does

Hermes makes sense of SDR files. Hermes allows you to:

- Check in (import) SDR files from multiple years.
- Test the integrity of the files.
- View and sort the content of the files in neat columns, and search records.
- Produce key reports: EFTS consumption, education performance indicator rates (EPI), and student participation.
- Calculate your weighted EPI score and measure it against the performance thresholds.
- Import STEO SDR validation errors and warning and produce useful reports to help correct errors.
- Match your SDR files against TEC's data accuracy files.

Because Hermes is using the same data as that which is reported to TEC and the reports are based on the TEC specifications, the reports are generally more reliable than similar reports produced from your student management system.

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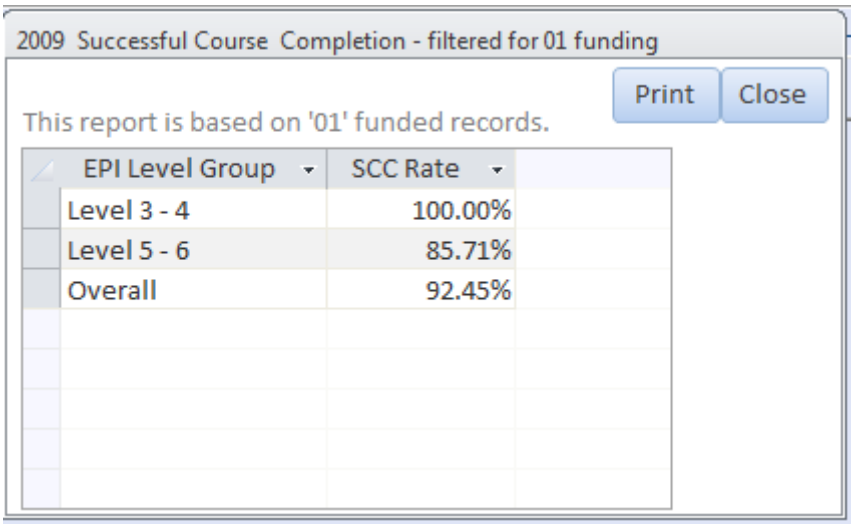

Using the same data as TEC

Most of TEC's education performance indictor reports use data from multiple years. For a given return year – say 2011 – TEC is using data from your 2010 December SDR files, your December 2011 SDR files, and your April 2012 SDR files. TEC may even use data from earlier SDR files.

There is a problem with this arrangement though because you may have changed enrolment data in your student management system between one SDR round and another. The effect of this can be that EPI reports produced by your student management system are using a slightly different set of data from TEC.

The problem is addressed by Hermes because the reports it produces are sourced from data from the successfully submitted SDR files and not from your student management system. **The key thing to remember , then , is that with Hermes you must use the SDR files successfully submitted to TEC.**

TEC's Definitions and Methodology

Hermes calculates EPI and student participation in accordance with TEC's publication "Educational Performance Indicators Definitions and Methodology Version 8.0".

Earlier versions of this document left much to be desired in terms of clarity and, as a result, Meta Office engaged in a lengthy dialogue with TEC in order to properly and accurately understand the definitions and rules. As TEC staff have moved on this dialogue has become more difficult as, it would appear, there has been little continuity of knowledge within TEC.

During the dialogue we discovered instances where TEC was using logic in its processing of SDR data that was not described in the their documentation. There are also instances where what appears in the documentation was simply incorrect – a fact acknowledged by TEC and remedied in later versions.

Meta Office's best endeavours have been to ensure completely accurate reporting but, due to the omissions and errors in TEC's published Definitions and Methodology document, Meta Office will not accept responsibility for discrepancies. We will however

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investigate such discrepancies with you.

Installing Hermes

A separate installation manual is available from the Meta Office web site, on the Hermes page.

Hermes licensing

Hermes is licensed to a tertiary education organisation on an annual basis. You may download Hermes from the Meta Office web site and use it at no cost for 15 days. Thereafter if you wish to continue to use Hermes your organisation must pay an annual subscription. The subscription will entitle you to all updates to Hermes in a 12 month period.

The subscription amount is based on two factors:

- Whether your organisation uses Take2 or not.
- The size of your organisation measured by the EFTS count reported in your most recent December SDR.

Details of subscription fees are available from the Meta Office Help Desk – helpdesk@meta-office.com, 04 939-1267.

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OVERVIEW OF HERMES FUNCTIONS

Sequence of functions

The diagram on the following page provides an overview of the sequence of Hermes functions.

The sequence is important because if you want to produce reports (step 4 in the diagram) from Hermes you must have first completed the three preceding steps so as to ensure that Hermes has the correct data to process.

1 Configuration

The first thing you need to do is to enter your four digit provider code (also known as your EDUMIS number) and the name of your organisation.

The EDUMIS number is required because it is used to match to the names of your SDR files.

2 File Processing

This function involves a number of tasks. You should carry these out before submitting SDR files via STEO.

Firstly you will "check in" (import) SDR files – i.e. the SDR files for December of a given year and – for some reports to be available also the April SDR files for the following year. Hermes will check whether they are in the correct format and allow you to view the data in the files in a way that makes it easy to pin down missing data.

Next you can use Hermes to test the integrity of records; for example find out if there are course enrolment records without a matching student record.

If problems are uncovered you will need to "check out" the SDR data imported, go back to your student management system to correct data, re-create a new set of SDR files, and then check in this new set.

3 Configuration

Once a set of SDR files has been successfully submitted you are nearly at the point of being able to produce reports and use the calculator. However, before doing so, you need to do two things.

Firstly you must enter qualification attributes for any qualifications referenced in the SDR files' data that do not yet have such attributes. They are:

- Qualification award category.
- Register Level.
- EFTS value.

Secondly you must enter performance thresholds if you wish to use the weighted EPI score calculator.

4 Reporting

This is the good bit. You can produce various reports but bear in mind that some reports require you to have more than one set of SDR files.

- EFTS Consumption – requires only the December SDR set of files for the designated year.
- Participation – requires only the December SDR set of files for the designated year.
- Successful Course Completion – requires the December SDR set of files for the designated year plus the April SDR set of

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files for the following year.

- Qualification Completion – requires the December SDR set of files for the designated year plus the April SDR set of files for the following year. As this measure involves matching qualification completions to course enrolments we consider it wise to have checked in December SDR files as far back as 2008.
- Student Retention – requires the December SDR set of files for the designated year plus the December SDR set of files for the preceding year. As this measure involves matching qualification completions to course enrolments we consider it wise to have checked in December SDR files as far back as 2008.

A calculator is also available which allows you to calculate your weighted education performance score using TEC's methodology published on their web site. The weighted score is matched by TEC against threshold values to determine whether funding is retained or reduced.

5 Data Accuracy

TEC makes a number of files available on the TEC Workspace that relate to a given year's EPI calculation. These files are supposed to contain the same data that you submitted via the SDR. Sadly this is not always the case. Hermes allows you to test that there is a match by importing the data accuracy files and then testing them against the SDR data you have submitted.

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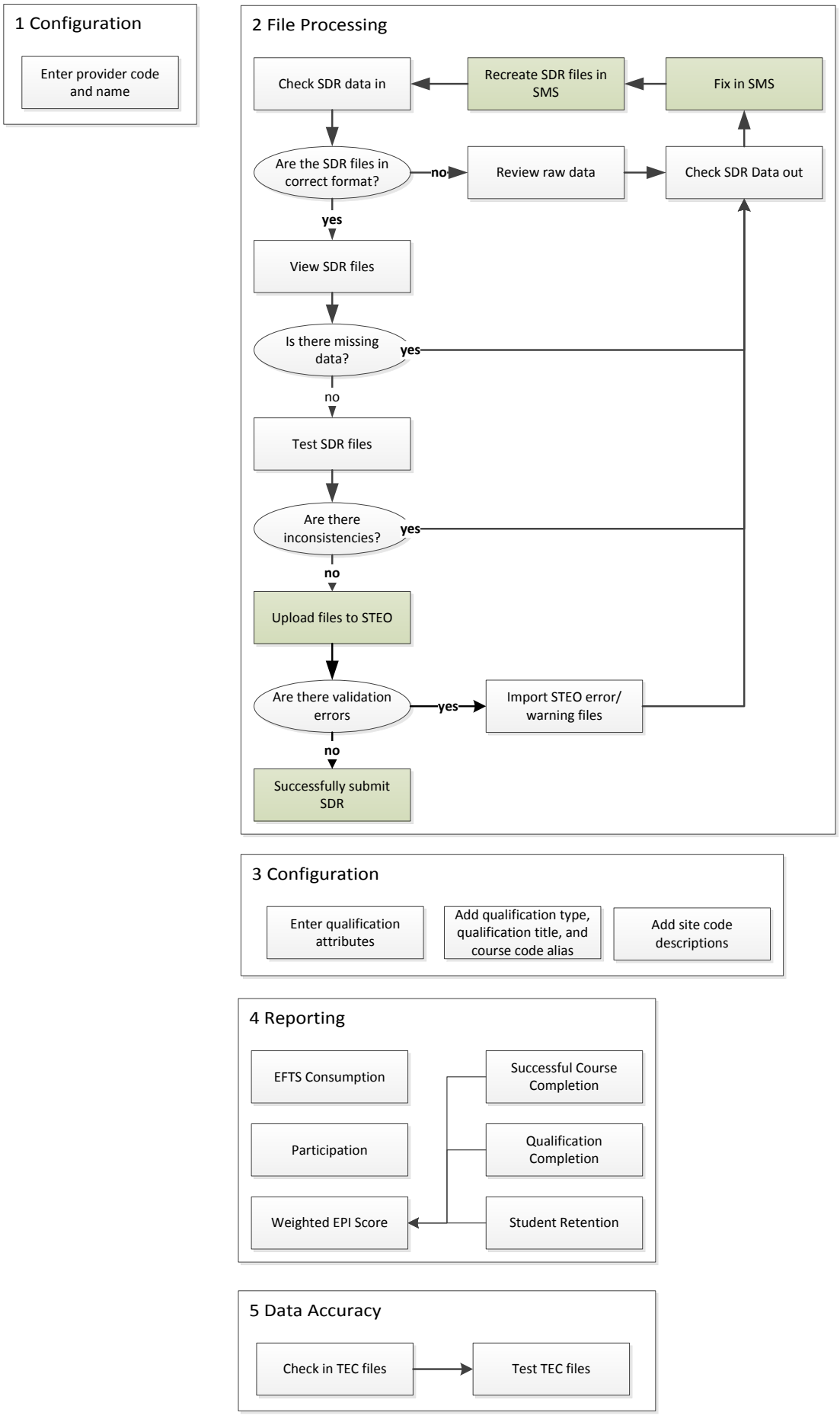

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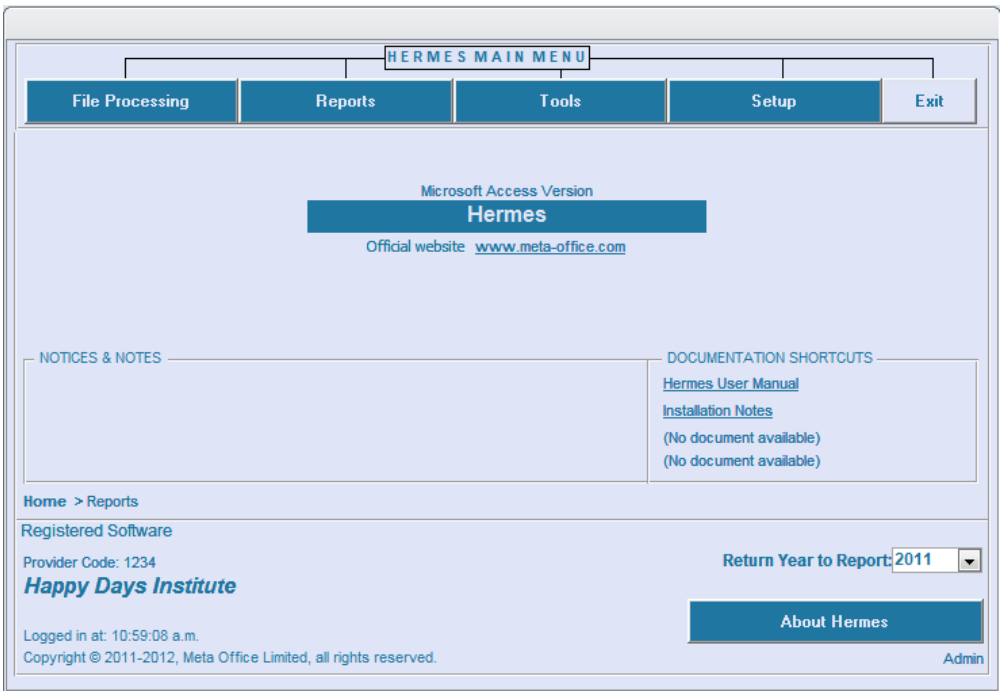
CONFIGURATION

Provider code and name

When you first run Hermes you will be prompted to enter your four digit provider number (sometimes known as an "EDUMIS" code).



Click Setup. A new menu is displayed. Click *Configuration*.

Now a new form is displayed and you should enter your organisation's name. The first time you visit this form you won't see a list of qualification codes. This doesn't appear until you have checked in at least one set of SDR files.

Qualification attributes

The reports available in Hermes are based on the TEC's Definitions and Rules for Education Performance Indicators. This means that the reports need to reference extra data about qualifications – data which is not stored in SDR files and which, therefore, you need to add yourself.

You should have this data yourself but if you need to check it against the TEC Qualification Register you can do so via their secure web site or via the Advanced Qualification Search page of the Which Course Where web site.

Qualification types

Hermes provides for assigning qualifications to a "qualification type". The qualification type value will appear in Excel audit files. For example, you may have 30 qualifications relating to three distinct subject areas. You could attach a qualification type to each qualification and thus be able to report at a higher level.

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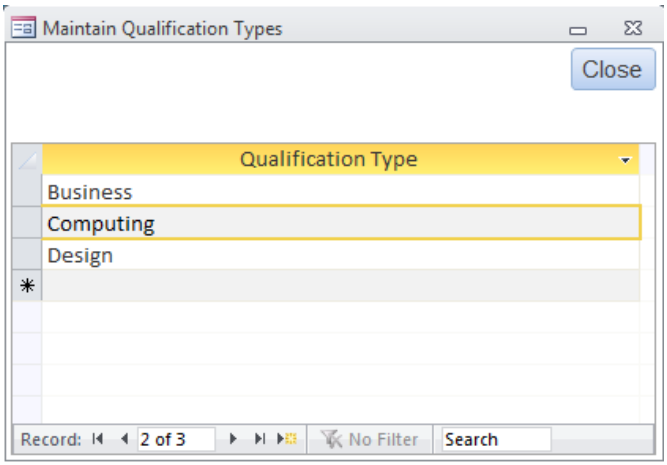
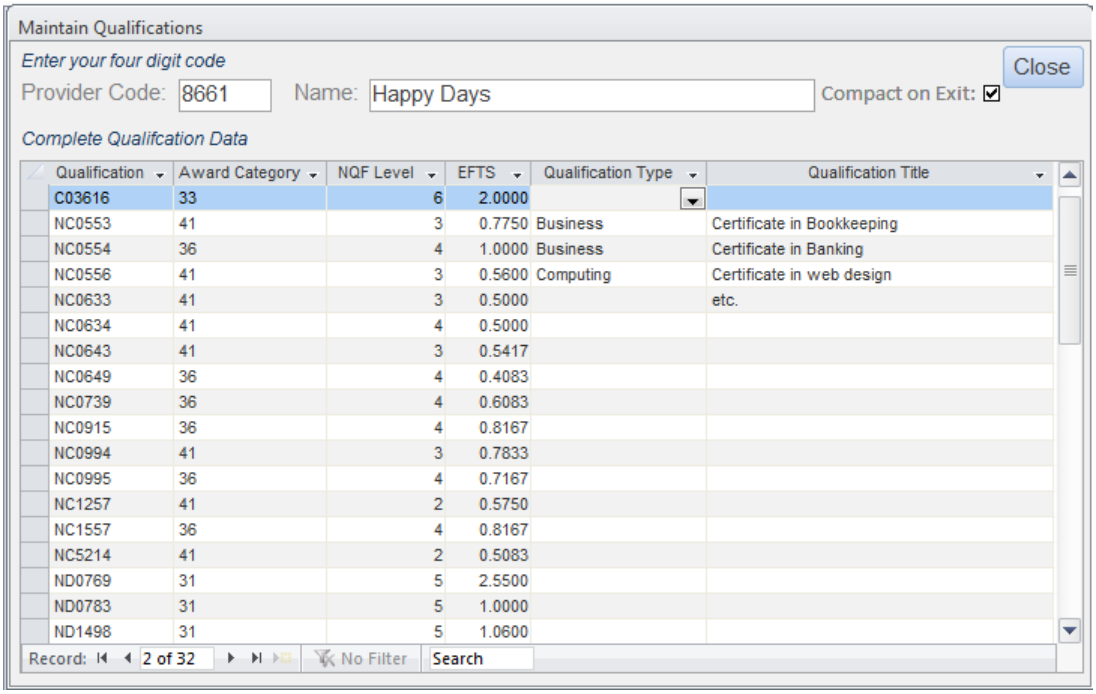


Completing qualification data

Open the *Maintain Qualifications* form again once you have imported some SDR files. You will now see a list of qualification codes.


Maintain Qualifications
Enter your four digit code
Provider Code: 8661
Name: Happy Days
Compact on Exit:
Close
Complete Qualifcation Data
Qualification | Award Category | NQF Level | EFTS | Qualification Type | Qualification Title
C03616 | 33 | 6 | 2.0000
NC0553 | 41 | 3 | 0.7750 | Business | Certificate in Bookkeeping
NC0554 | 36 | 4 | 1.0000 | Business | Certificate in Banking
NC0556 | 41 | 3 | 0.5600 | Computing | Certificate in web design
NC0633 | 41 | 3 | 0.5000 | | etc.
NC0634 | 41 | 4 | 0.5000
NC0643 | 41 | 3 | 0.5417
NC0649 | 36 | 4 | 0.4083
NC0739 | 36 | 4 | 0.6083
NC0915 | 36 | 4 | 0.8167
NC0994 | 41 | 3 | 0.7833
NC0995 | 36 | 4 | 0.7167
NC1257 | 41 | 2 | 0.5750
NC1557 | 36 | 4 | 0.8167
NC5214 | 41 | 2 | 0.5083
ND0769 | 31 | 5 | 2.5500
ND0783 | 31 | 5 | 1.0000
ND1498 | 31 | 5 | 1.0600
Record: 2 of 32
No Filter
Search

Fill in the award category[1], NQF level, and EFTS fields. Optionally you can assign qualification type and qualification title.

This data is important

The first three fields data are required by Hermes in order to produce accurate reports. If, as the years go by, you add more qualifications and report them through the SDR, you will find that the new qualifications are added to the list on the *Set Up* form. So it is a good idea to check the list for missing data each time you have checked in new SDR files.

Compact on Exit

The Hermes files can get quite large as time goes by. We suggest

[1] The award categories available in Hermes are those published by TEC. Please note that these differ somewhat from those published by the Ministry of Education.

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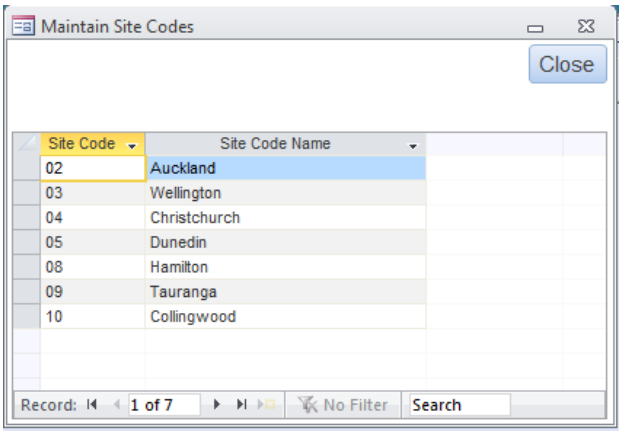
ticking the *Compact on Exit* option so that the file is shrunk each time you exit Hermes.

Site codes

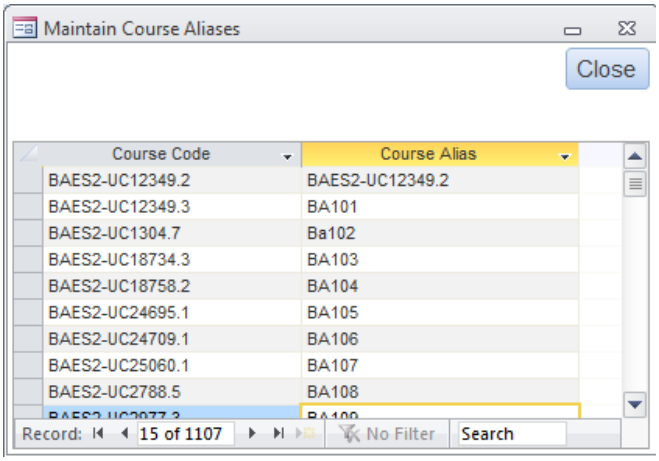
On the *Setup* menu you can optionally assign a name to each site code. This will be included in the Excel audit files.



Course aliases

The course codes in your course register, which are included in your SR files, may not necessarily be codes that you want to use in the Excel audit files. So you can click *Course Alias* on the *Setup* menu to enter alias values. When you first open the form the alias will be set to the actual course code, but you can change it. You cannot however change the course code itself. If you don't open the *Maintain Course Aliases* form no aliases will be created. However, once an alias has been set it can only be changed on the form.

Note – course aliases must be unique. You cannot use the same alias for multiple courses.



Performance weightings, thresholds, and part-time adjustment rate

TEC publishes the weighting to be used in the formula for calculating the weighted performance score. The weightings vary between grouped qualification and could also change over time.

TEC also publishes thresholds for assessing the weighted performance score. There is an upper and a lower threshold for each set of grouped qualification levels. The thresholds can change from year to year.

TEC also uses a part-time study adjustment rate when calculating the

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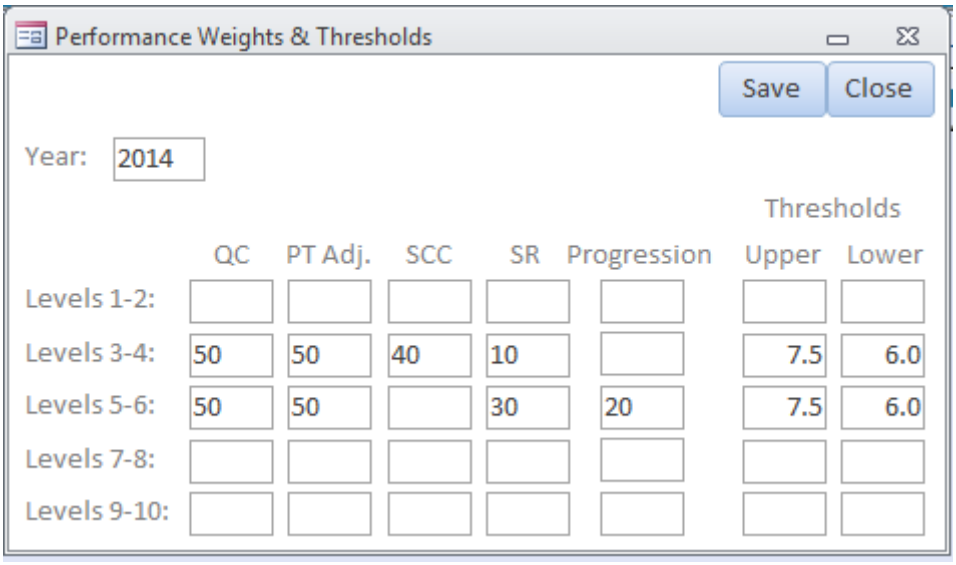
weighted performance score. Currently the adjustment rate is 50% and has been for several years but it is possible that the rate will change in future.

To manage the weightings, thresholds and adjustment rate you click *Performance Weights* on the *Setup* menu.



Enter a year and any existing values will be displayed. These can be adjusted.

If no values exist for a particular field or year, simply leave the field(s) blank.

Backups

It is sensible to back up the Hermes data file once you have entered configuration data. The file is called Hermes_Data.accdb. If you wish you can use the backup utility in Hermes itself by clicking *About Hermes,* then *System*.

Now click *Additional Functionality* and *Perform Backup*. Note that you need a special file called Zip32.dll in your Windows System32 folder in order for this utility to function. A copy of the file can be downloaded from the Meta Office web site.

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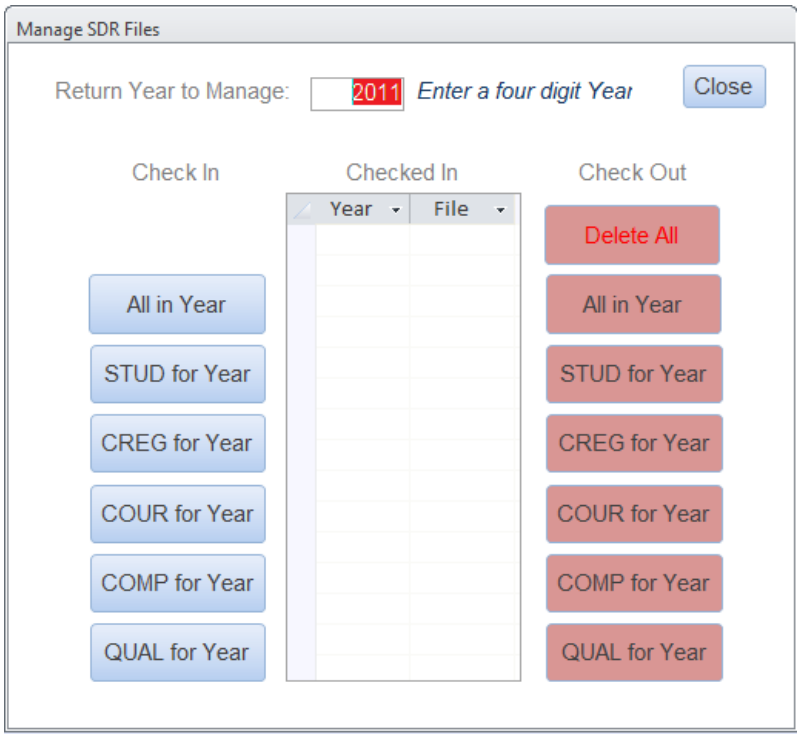
FILE PROCESSING – CHECKING SDR FILES IN AND OUT

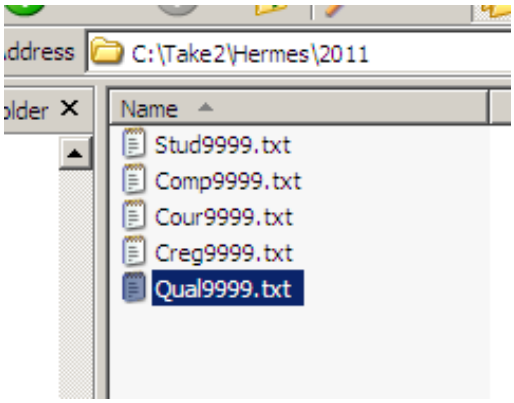
Check in SDR files

On the *Main Menu* click *File Processing* and then *Manage SDR Files*. This opens a form on which you can check in or check out SDR files.



Initially there are no files checked in. That will be your first task. Enter a return year and copy the SDR files from that year into a single folder. We suggest creating separate sub-folders for each return year within the folder used for the Hermes front-end program file "Hermes.accde".

Note – the five files must be named in accordance with the STEO standard. For a provider code "9999" STUD9999.txt would be the student file, CREG9999.txt would be the course register file, etc.



Normally you will copy all five files into the folder and click *All in Year* in the *Check In* list in order to check in all five files. Occasionally you may want to check in just one or two of the five files and so there is a

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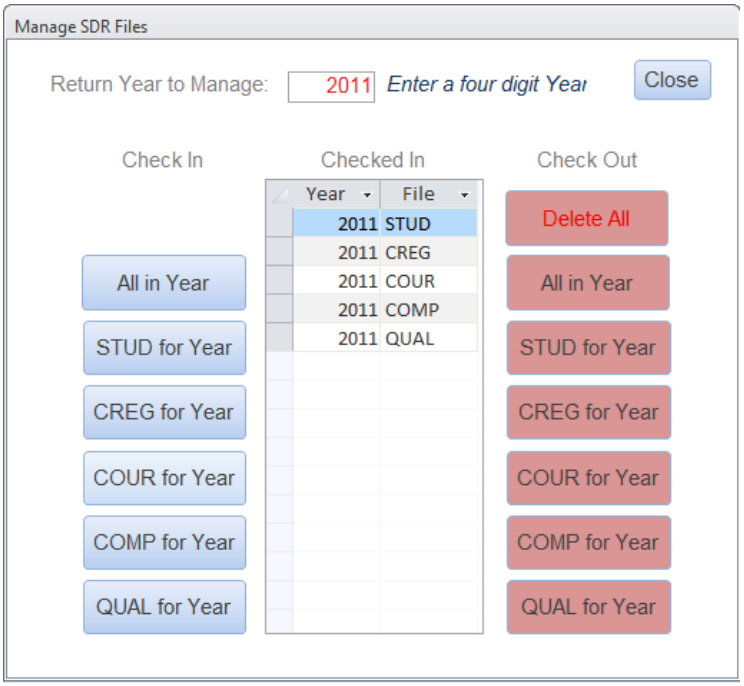
button for each individual SDR file. Once files have been checked in they are added to the *Checked In* list.

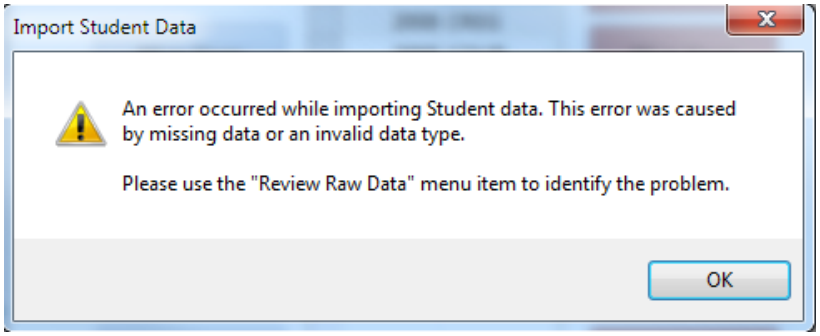


If you try to check in files that have already been checked in you will get a message telling you this is not possible. This means that if you need to re-import SDR files for a given return year, you must first check out the files already checked in which deletes the data imported when the files were first checked in – see below.

File format errors

If a file to be checked in has missing data or uses an invalid data type for a particular field you will get a message. In practice what this means is that an error occurred while attempting to load the data into the structured Access table, whereby some data couldn't be loaded.

Usually this will occur because data is missing from the imported file or required data for a given field is in the wrong format – e.g. a field requires an integer but the SDR file contains a character.


Import Student Data
An error occurred while importing Student data. This error was caused by missing data or an invalid data type.
Please use the "Review Raw Data" menu item to identify the problem.
OK

Viewing raw data

You can review the raw data in the defective SDR file by clicking *Review Raw Data* on the *File Processing* menu and then selecting the specific file.

The best way to spot missing data is to sort the raw data table in

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ascending order on a required field. This will move defective records to the top of the list because the relevant field is blank or zero for these records. In the student file required fields are those which are mandatory for type B students, namely GENDER, DOB, NAMEID, CITIZEN, and NSN. Note that zero is an invalid NSN value.

ID	G	DOB	NAMEID	PRIOF	FIRST_YR	DIS_ACCESS	S_SCHOOL	Y_SCHOOL	SEC_C	CITIZEN	DISABI
199079501	F	03/06/1969	LEITJ	08		2					1
199081987	M	05/09/1979	MCLAR	03	2010	2	999	1998	09		1
199080797	F	29/08/1975	HAYWH	03	2011	2	999	1995	00		1
199080757	M	14/02/1974	FLANJ	03	2011	2	999	1991	09		1
199082016	M	12/10/1967	MICON	04	1990	2	999		09		1
199074861	M	09/02/1942	DINNT	08	2009	2	1040		00		1
199081649	M	21/07/1989	RUSSF	03	2009	2	233	2006	13	ARG	1
199057008	F	16/08/1976	GIZIM	03	1995	2	999	1997	15	AUS	1
199082473	F	25/02/1956	SMITA	03	1974	2	999	1972	09	AUS	1
199080982	M	03/01/1994	JORDB	01	2011	2	24	2010	00	AUS	1
199068495	F	02/06/1982	AISTJ	03	2001	2	999	1999	09	AUS	1
199081927	M	26/08/1946	BREWD	02	1965	2	999	1964	14	AUS	1
199037337	M	09/04/1964	LODEL	03	2004	2	999	1989	09	AUS	1
199031157	M	28/09/1954	BETTS	03	1971	2	999	1970	00	AUS	1

A worksheet of the data is displayed and you can use the features of Microsoft Access to sort, filter and search data and thereby identify problems.

Appendix B of this manual contains a section that describes these features of Access which you will find can also be used elsewhere in Hermes.

Check out SDR files

On the *Manage SDR Files* form you can also check out individual SDR files, all files for the selected return year, or all files for all years. This latter option is the one labelled “Delete All”. It removes all imported data.

Australian Residency

From 2015 a code for Australian Permanent Residency has been added to the SDR Course Enrolment file. This field plays no role in education performance indicators however Hermes has been modified to accommodate its import from 2015.

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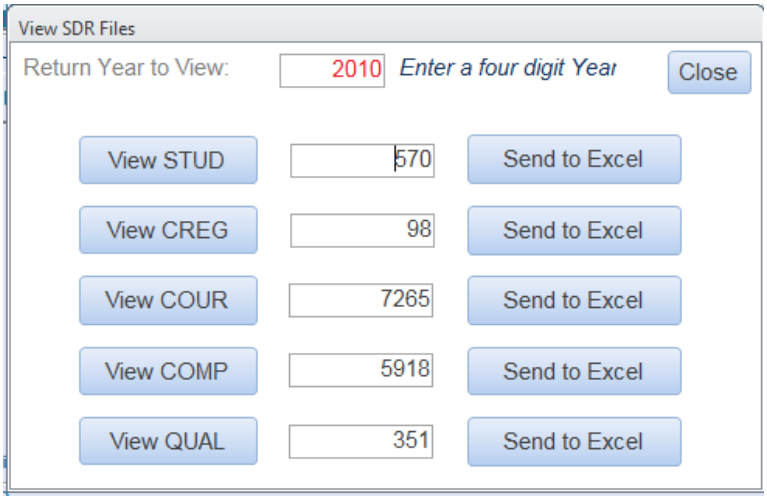
VIEWING AND TESTING SDR FILES

Viewing files

Click *View SDR Files* on the *File Processing Menu*. This opens a new form and you can specify a return year.

The form will refresh to show you how many records are in each SDR file and you can click on the relevant button to view records in a datasheet or export them to Excel.



Testing SDR files

Click *Test SDR Files* on the *File Processing Menu* to open a new form which provides a list of possible problems with your SDR files. You will normally do this to a set of SDR files that have not yet been submitted via the STEO web site and so normally the *Year to Test* will be the current year. The last two tests, however, compare data from the selected year with data for the following year and so would be run when you have a set of April SDR files for the following year.

Most problems relate to "orphan" records where – for example – a course enrolment record has no matching student record. Note course completions are matched to course enrolments only for "01" funded enrolments.

Those items on the list without an asterisk could be show stoppers. You would not normally submit an SDR successfully if such items exist.

The items on the list with an asterisk may not be a problem because they can be caused in two ways:

- The completion record relates to data that was reported in an earlier SDR round. This is not a problem.
- The completion record is supposed to relate to a record in the current SDR round. This would be a problem.

Click the binoculars to view problematic records. In the case of an asterisked orphan record you can check the CRS_END (for the Course Completion file) and YR_REQ (for the Qualification Completion file) values to see whether they relate to an SDR round earlier than the

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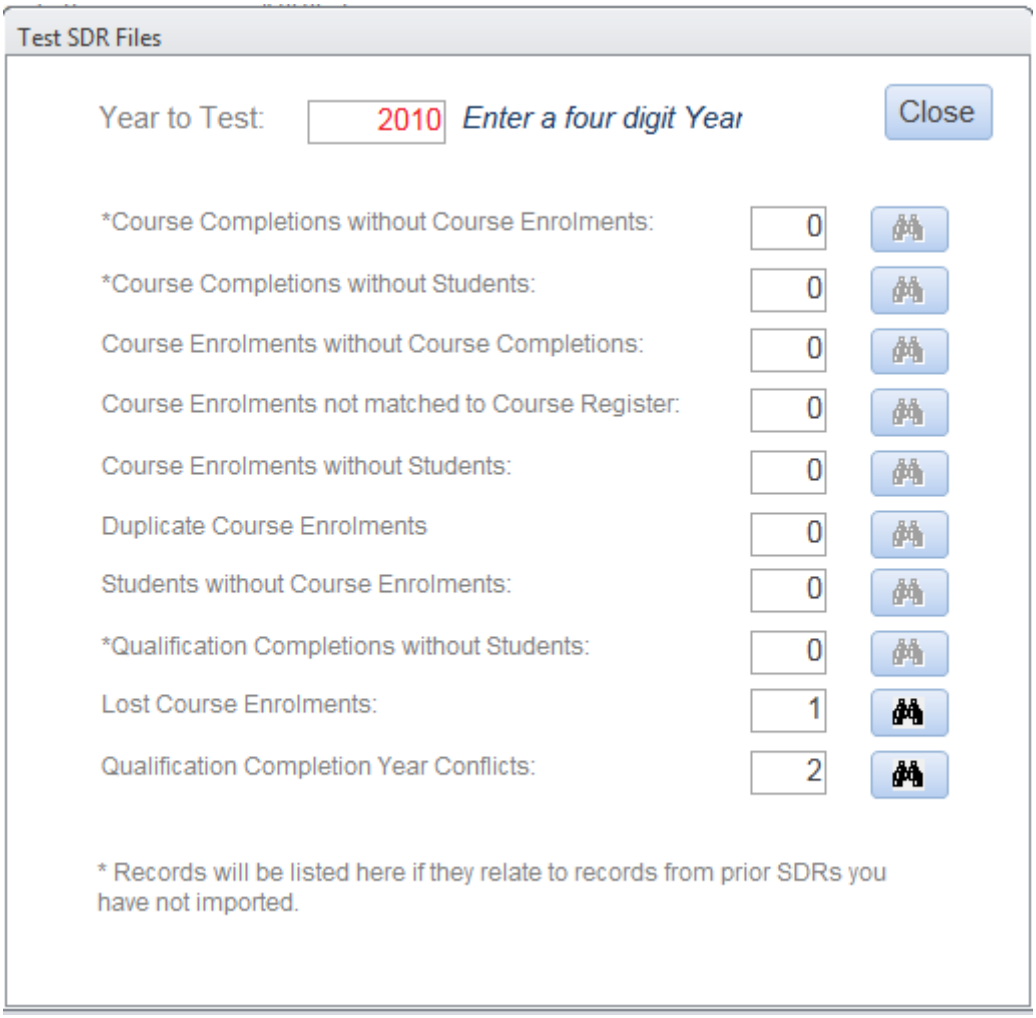
one being checked.



Duplicate course enrolments

When TEC calculates EPI ratios that involve counting course enrolments it uses some rules about what to do if your organisation has reported duplicate course enrolments. A duplicate course enrolment is defined by TEC as being where the SDR files submitted by an organisation contain two or more course enrolment records that have the same student ID, course code, and start date and which are all included in a single SDR year.

The fact that the start date has to be the same in the duplicated records is important because, of course, it is entirely possible and legitimate for student to repeat a course that they have failed – in which case the course enrolment records would not have a common start date and, therefore, will not be classified as duplicates.

When Hermes checks for duplicates it uses the above TEC definition and, therefore, if you see that there are duplicates and one of the duplicated records is sourced from SDR files from the current year , you may wish to check out how the duplicate arose and remove it from your student management system. That will mean that you can re-create the current year SDR files in the student management system and check them in again into Hermes before they are submitted via the STEO site.

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	Note – when Hermes looks for duplicates it ignores course enrolment records which are the same in terms of student ID, course code and start date, if these were reported in different SDR years. For example, a course enrolment that started in 2010 and ended in 2011 will be reported in each of the 2010 & 2011 years, with the same identifying information, but these two records are quite obviously not duplicates. Only duplications of student ID, course code and start date amongst data within a single SDR year are reported.
Datasheets	Problematic records detected are displayed in tabular format. The tables have search, sort and filtering capabilities. Notes of the use of the tables (termed "Datasheets") is provided in Appendix B.
Lost course enrolments	This test compares course enrolments from the year prior to the selected year that start in the prior year and end in the selected year with the course enrolment records for the selected year. If the enrolments are missing from the selected year they are "lost"
Qualification completion year conflicts	The test can only be performed when course enrolment data is available for the following year. So, say the year being tested is 2010, then Hermes looks at each 2010 qualification completion record and then checks whether there is a 2011 course enrolment record for the same student/qualification combination. If there is the course enrolment records in question are displayed. This error corresponds to a test in the TEC Data Accuracy report called "Discrepancies in the qualification completion year".
Import STEO error/warning reports	If you get errors and warnings when you submit your SDR files through the STEO validation process you can view the problem records. You can also download CSV containing the errors and warnings. There is one CSV file for errors and another for warnings. Viewing the problem records on STEO and trying to fix the errors in your student management system at the same time is not easy. Unfortunately the CSV downloads don't make life much easier as they don't contain the full text of the error/warning message, nor are they very well organised. However the CSV files can be imported into Hermes where you can produce more useful reports to assist you in correcting data in your student management system.

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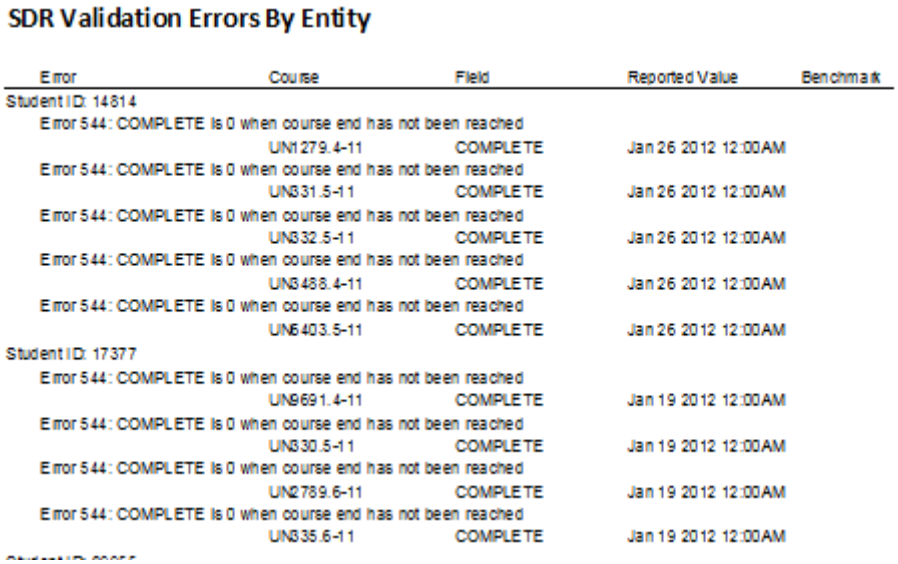

SDR Validation Errors By Entity

Error	Course	Field	Reported Value	Benchmark
Student ID: 14814				
Error 544: COMPLETE is 0 when course end has not been reached				
	UN1279.4-11	COMPLETE	Jan 26 2012 12:00AM	
Error 544: COMPLETE is 0 when course end has not been reached				
	UN331.5-11	COMPLETE	Jan 26 2012 12:00AM	
Error 544: COMPLETE is 0 when course end has not been reached				
	UN332.5-11	COMPLETE	Jan 26 2012 12:00AM	
Error 544: COMPLETE is 0 when course end has not been reached				
	UN3488.4-11	COMPLETE	Jan 26 2012 12:00AM	
Error 544: COMPLETE is 0 when course end has not been reached				
	UN6403.5-11	COMPLETE	Jan 26 2012 12:00AM	
Student ID: 17377				
Error 544: COMPLETE is 0 when course end has not been reached				
	UN9691.4-11	COMPLETE	Jan 19 2012 12:00AM	
Error 544: COMPLETE is 0 when course end has not been reached				
	UN330.5-11	COMPLETE	Jan 19 2012 12:00AM	
Error 544: COMPLETE is 0 when course end has not been reached				
	UN2789.6-11	COMPLETE	Jan 19 2012 12:00AM	
Error 544: COMPLETE is 0 when course end has not been reached				
	UN335.6-11	COMPLETE	Jan 19 2012 12:00AM	

Errors or warnings or both?

Validation errors are showstoppers. You can't submit an SDR if they exist. Validation warnings don't prevent you from submitting an SDR and so many people don't bother with them.

If you do decide to download both make sure that you save each downloaded file with a different name. For example, if your EduMIS number is 9999 you would save them as "9999_errors E.csv" and "9999_errors W.csv".

If you want Hermes to import both errors and warnings you need to use Excel to combine the records in both files by appending warning records to the error records. Save the combined file with a new name, for example "9999_errors EW.csv"

Importing CSV files

Click *Tools* and then *SDR Validation Reports*. This opens a new form and you click *Import* to select a CSV file to import. You will get a message when the import has been successfully completed.

Each time you import a file it overwrites the previously imported data.

Validation reports

You can produce summary reports and detailed exception reports.

When producing detail exception reports you can select records for individual error/warning codes, all errors, all warnings, or all records. Both reports can be exported to Excel.

You can also select from two methods of ordering the detail reports:

- By entity – shows all errors/warning for student-by-student or course-by-course.
  With this method selected you can also opt to group the records by the site code in the course enrolment file. This is very useful if you have multiple campuses.
- By exception instance – shows all errors/warning in code order (errors before warnings) and the individual exceptions for each code.

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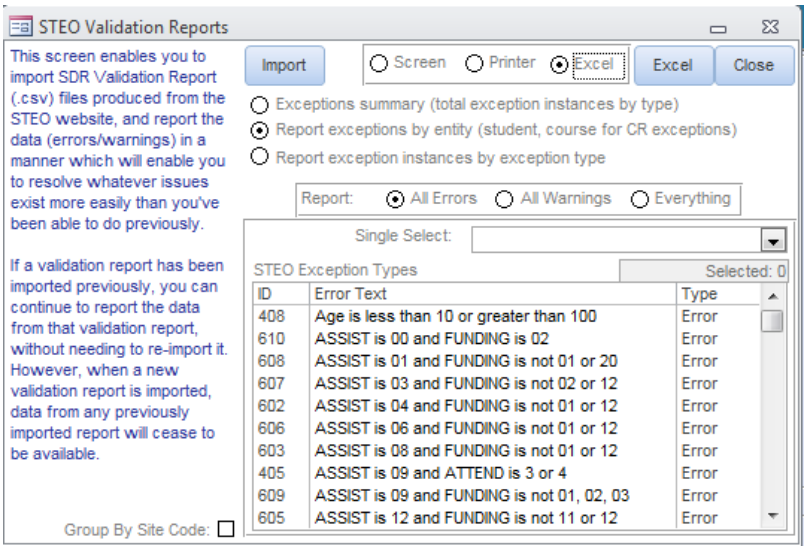
STEO Validation Reports
This screen enables you to import SDR Validation Report (.csv) files produced from the STEO website, and report the data (errors/warnings) in a manner which will enable you to resolve whatever issues exist more easily than you've been able to do previously.
If a validation report has been imported previously, you can continue to report the data from that validation report, without needing to re-import it. However, when a new validation report is imported, data from any previously imported report will cease to be available.
Group By Site Code:
Import
Screen
Printer
Excel
Excel
Close
Exceptions summary (total exception instances by type)
Report exceptions by entity (student, course for CR exceptions)
Report exception instances by exception type
Report:
All Errors
All Warnings
Everything
Single Select:
STEO Exception Types
Selected: 0
ID
Error Text
Type
408 Age is less than 10 or greater than 100 Error
610 ASSIST is 00 and FUNDING is 02 Error
608 ASSIST is 01 and FUNDING is not 01 or 20 Error
607 ASSIST is 03 and FUNDING is not 02 or 12 Error
602 ASSIST is 04 and FUNDING is not 01 or 12 Error
606 ASSIST is 06 and FUNDING is not 01 or 12 Error
603 ASSIST is 08 and FUNDING is not 01 or 12 Error
405 ASSIST is 09 and ATTEND is 3 or 4 Error
609 ASSIST is 09 and FUNDING is not 01, 02, 03 Error
605 ASSIST is 12 and FUNDING is not 11 or 12 Error

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Reports

Click *Reports* on the *Main Menu* to open the *View Reports* menu. There are five reports.

Remember to select the years for which you want to report.

EFTS Consumption

This report is useful if your student management system does not have reliable EFTS reporting. To use the report make sure that you have checked in the December SDR files for the year in question.

The report is produced as an Excel file with a pivot table and so provides opportunities to filter. You are most likely to want to filter by source of funding and/or qualification code. A hidden (but unprotected) worksheet in the Excel file provides the unit data on which the pivot table depends.

FUNDING	CATEGORY	CLASS	ATTEND	CRS_SITE	NQFLEVEL	QUAL	EMB_LIT_NUM
All	All	All	All	All	All	All	All

Drop Column Fields Here

AWARDCATEGORY	Sum of JAN	Sum of FEB	Sum of MAR	Sum of APR	Sum of MAY	Sum of JUN	Sum of JUL	Sum of AUG	Sum of SEP	Sum of Oct	Sum of NOV	Sum of DEC	Sum of Year Total
11	19.473	25.9682	26.6675	26.53	26.364	26.4459	25.3102	25.3105	25.8103	26.1176	26.8591	21.0767	301.933
12	0	5.4318	5.4318	5.4318	5.4318	5.4508	4.4664	4.4388	4.4149	4.4149	4.4264	0	49.3394
13	0.0417	3.2384	4.3644	4.3644	4.42	4.3835	4.6751	4.6751	4.7307	4.6751	4.6965	1.112	45.3769
14	0	0.2997	0.2997	0.2997	0.2997	0.3015	0.2332	0.2332	0.2332	0.2332	0.2341	0	2.6672
20	11.0365	164.6612	154.3487	154.3487	154.3487	154.2565	148.2081	149.1081	149.8341	149.8341	161.8355	13.622	1565.4422
21	0.125	3.2166	3.0916	3.0916	3.0916	3.092	3.6083	3.6083	3.6083	3.6083	3.8585	0.25	34.2501
25	0.375	9.1491	8.7741	8.8297	8.8297	8.835	8.3572	8.3572	8.3572	8.4405	9.0723	0.7084	88.0854
33	0.7657	19.8923	20.2223	20.2639	20.2639	20.2673	19.8103	19.8127	19.8146	19.8146	20.644	0.8964	202.468
36	4.2098	5.1972	5.3619	5.2407	5.071	4.9278	3.8982	3.2198	4.2986	4.0972	3.9111	3.0196	52.4529
41	19.6817	23.6979	26.7757	32.5288	36.4775	43.3834	56.2497	49.2203	42.0985	38.8601	35.8409	35.2302	440.0447
46	37.3783	43.1663	38.0163	40.3223	41.1488	40.3456	41.9757	39.5148	42.0316	38.1713	41.0472	26.9618	470.08
96	4.6724	4.6724	4.6724	4.6724	4.6724	4.6724	4.6724	4.6724	4.6724	4.6724	4.6724	6.2822	57.6786
99	4.1293	3.6876	4.0001	4.5	4.1875	2.0625	3.4375	1.3125	6.5625	2.1875	4.3126	1.5625	41.9421
Grand Total	101.8884	312.2787	302.0265	310.424	314.6066	318.4242	324.9023	313.4837	316.4669	305.1268	321.4106	110.7218	3351.7605

Please note that this report shows EFTS for the selected year only. So, for example, if you ran the report for 2011 and there were enrolments in the 2011 SDR that had commenced in 2010 only the 2011 portion of the enrolments' EFTS will be counted in this report.

You can see the underlying data on which the audit report is based by viewing the COUR file from the *View SDR Files* option on the *File Processing* menu.

Pivot tables

A pivot table is method of presenting tabular information. Pivot tables can be created in Microsoft Excel and Microsoft Access and they are powerful tools because they allow a user to quickly and easily filter the summarised data, and even to change the cross tabulation.

If you are not familiar with pivot tables you might like to visit Microsoft to learn a little about using them. Ignore steps 1 and 2 and go straight to step 3.

Report filters

The following reports provide filters. From Hermes version 1.05 there are two types of filter:

- *Standard Filtering* – this is the same default filtering that was applied in all versions of Hermes prior to the release of version 1.05 – i.e. all data is filtered for "01" funding. So if you click this button the reports are produced and filtered for "01 funded enrolments – i.e. those counted by TEC for EPI purposes.
- *Custom Filter* – the custom filter allows you to filter by the

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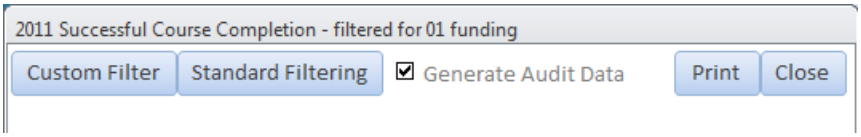
following parameters:

- Funding source.
- Delivery site code.
- Qualification.
- As At Date – to exclude course enrolment records with an end date after the "As At" date.
- Start Date – to include only course enrolment records with a start date in the specified range.
- Ethnicity – Is Maori, Is Pasifika, Is Maori or Is Pasifika, or All.
- Age – Is Under 25, Is 25 or Older, or All.

Take2 users will be familiar with the filter mechanism. Non-Take2 users should see Appendix C for more information.



Filter application

The three EPI reported by Hermes all use records from the SDR course enrolment file in the denominator. Each report then uses records for the numerator that are related in some way to the records in the denominator.

Course enrolment records include funding source, delivery site code, qualification, start date and end date. Course enrolment records are related to student records that contain ethnicity and date of birth. Accordingly custom filtering is against the course enrolment records in the denominator for all three EPI.[2]

Audit Data

When you generate a report you can tick the *Generate Audit Data* option. This has the effect of creating an Excel workbook file in which the underlying data for the report in question is tabulated.

Site code

Site code is an attribute of course enrolments. The denominator for the calculation of the qualification completion rate is comprised of course enrolment records and so the inclusion of site code in the audit denominator output is simple. However the numerator for the calculation is based on qualification completions which are derived originally from qualification enrolment records, and site code is not an attribute of qualification enrolments. In order to include site code in the numerator audit output Hermes examines the related course enrolments and uses a site code value from these records. If the related course enrolment records include several site codes, Hermes will use the lowest code. For example, says there are two related course enrolment records, one with site code "01" and one with site code "02", the numerator record will use "01".

[2] As noted elsewhere, a flaw in the SDR is that it contains no qualification enrolment record. This means that the formula for calculating qualification completion rates makes use of a bizarre matching process between qualification completion and course enrolment records. This could mean that the qualification custom filter is not 100% reliable when calculating the qualification completion rate. This could be the case when a qualification has been discontinued.

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Cross year data and deleted enrolments

The denominator for both the SCC and QC rates is the sum of EFTS of course enrolments ending in the return year. If you have cross year enrolments (e.g. start in 2012 and end in 2013) Hermes requires that you check in the SDR data for all years that contribute to counting EFTS. In the case of the example you must have checked in the 2012 and 2013 SDR files.

Note that it is possible to report cross year enrolments in the December SDR of the start year but to delete them from your SMS in the following year so that they are not available in the December SDR of the following end year.

In this case TEC will count into the denominator that portion of the EFTS reported in the first year. Hermes also applies this logic.[3]

Participation

This report replicates the Plan Commitments Participation Report compiled by TEC and available on through your TEC workspace in the section "Contextual Information".

The report is produced in two parts. The first part is portrait and shows EFTS counts for the return year as calculated for the **EFTS Consumption** report. Note, however, that where EFTS is broken down by ethnicity the total EFTS may be slightly less than the Consumption report because EFTS for unknown ethnicities are not counted.

[3] TEC's definitive ruling on this matter is contained in an email from Doreen Sua of TEC to Meta Office dated 23/12/2013.

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Plan Commitments Participation Report

Year: 2011

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9999

Maori & Pacific students as a proportion of know ethnicity EFTS:

Qualification Register Level Split	Maori EFTS	Maori %	Pacific Peoples EFTS	Pacific Peoples %	Known EFTS
Level 4 plus	234.89	25.96%	150.95	16.68%	904.89
Total	234.89	25.96%	150.95	16.68%	904.89

Qualification Register Level	Maori EFTS	Maori %	Pacific Peoples EFTS	Pacific Peoples %	Known EFTS
7	234.89	25.96%	150.95	16.68%	904.89
Total	234.89	25.96%	150.95	16.68%	904.89

Levels as a proportion of total EFTS:

Qualification Register Level Split	Total EFTS %	Total EFTS
Level 4 plus	100.00%	905.89
Total		905.89

Qualification Register Level	Total EFTS %	Total EFTS
7	100.00%	905.89
Total		905.89

The second part of the report is landscape and provides a detailed demographic breakdown for each qualification by ethnicity and gender.

Qualification		Maori			Pacific People			Known Ethnicity		
		Male	Female	Total	Male	Female	Total	Male	Female	Total
112814	EFTS	0.00	0.00	0.00	0.00	0.63	0.63	0.00	0.78	0.78
	%	0.00%	0.00%	0.00%	0.00%	81.47%	81.47%	0.00%	100.00%	100.00%
C03616	EFTS	0.00	0.00	0.00	1.52	0.00	1.52	5.06	2.07	7.13
	%	0.00%	0.00%	0.00%	21.33%	0.00%	21.33%	70.95%	29.05%	100.00%
NC0553 Certificate in Bookkeeping	EFTS	3.46	9.22	12.68	4.85	5.04	9.89	11.41	17.33	28.74
	%	12.03%	32.10%	44.13%	16.87%	17.54%	34.41%	39.69%	60.31%	100.00%
NC0554 Certificate in Banking	EFTS	0.97	6.87	7.84	3.07	2.57	5.64	5.88	11.04	16.92
	%	5.72%	40.62%	46.34%	18.16%	15.18%	33.35%	34.75%	65.25%	100.00%

EPI Reports

There are three EPI reports: for successful course completion, qualification completion, and for student retention. The following notes describe the reports being run with the standard filter.

All three reports are grouped by EPI level group. Where no data is available for a level group it is omitted and so not counted in the overall rate. Where there is denominator data but no numerator data for a level group the rate is set at zero for that level group and the level group is counted in the overall rate.

Successful Course Completion

Note: you will see a warning on this report if any of the course completion records being counted do not have a course completion

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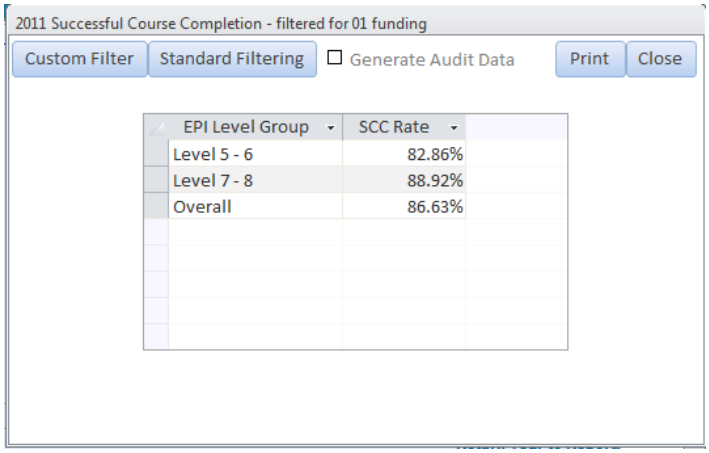
code.

The reported is presented as a datasheet and be printed by clicking *Print*.



What is being calculated

The report is grouped by qualification level groups. The SCC rate is calculated by calculating a numerator value and a denominator value. The numerator is divided by the denominator to obtain the SCC rate.

- Numerator – the total EFTS value of 01 funded course enrolments that end in the return year. To be counted a course enrolment must have a course completion code of "2" that has been reported to TEC and an end date in the return year.
- Denominator – the total EFTS value of 01 funded course enrolments that end in the return year. To be counted a course enrolment must have an end date in the return year.

ALERT

TEC calculates an "indicative" SCC rate for a given return year after receiving a successful December SDR for that year. The final SCC rate on which TEC bases funding decisions, and which is published by TEC, is based on the December SDR and any additional course completions for the return year reported in the April SDR of the year after the return year.

Successful course completions for a return year reported in an SDR after the April SDR of the year after the return year are ignored by TEC.

Qualification Completion

Note: TEC's rules for qualification completion rate are extremely complex (some would say "bizarre") and there are two issues in particular to which we draw your attention.

- The formula can in some circumstances result in a qualification completion rate of over 100% being calculated. This is what Hermes will show. However TEC (as if a little embarrassed by this logical oddity) truncates the rate at 100% so even if the true calculated rate is 160%, for example, TEC will publish only 100% and use 100% when calculating the weighted performance score .
- TEC uses the concept of "imprecise matches" when identifying which qualification completions to count. What

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exactly constitutes an imprecise match is poorly documented by TEC and, indeed in one case TEC has informed us that "*This condition has not been specified in the Definitions and Rules document*" when referring to a condition that can affect the qualification rate.

- The denominator and numerator for the qualification completion calculation count different things so, unlike the other two EPIs there is no direct relationship between the records counted in the numerator and denominator. This can skew the calculated rate where small numbers of records are counted or where there are big differences in completions for a qualification from one year to the next.

What is being calculated

The report is grouped by qualification level groups. The QC rate is calculated by calculating a numerator value and a denominator value. The numerator is divided by the denominator to obtain the QC rate. A part-time learning rate is also calculated.

- QC Rate Numerator – the sum of the qualification EFTS for qualification completions in the return year. Sounds complicated? This means, for example, that if 10 students successfully complete a qualification that has an EFTS value of 2.0000 they would contribute 20 to the numerator.
- QC Rate Denominator – the sum of EFTS delivered for course enrolments ending in the return year.
- Part-Time Rate Numerator – the sum of EFTS delivered for students with course enrolments ending in the return year.
- Part-Time Rate Denominator – the sum of the qualification EFTS for students enrolled in the return year. The EFTS value per qualification enrolment is capped at 1.0000.

Qualifications completions always count

Unlike the late reported course completions scenario described above, qualification completions are always counted by TEC. So even if a student's most recent course enrolment was in – say – 2008 and you report a related qualification completion in 2012 that qualification completion will still be counted.

Student Retention

Student retention is supposed to be a means of determining whether students are retained. That is a bit of a misnomer. What is in fact be counted is whether a student continues studying from one year to the next and/or completes a qualification. IN short it is not just retention that is being counted in the numerator.

The other point to note about student retention is that for a given return year the focus is primarily on the students enrolled in the previous year. So, for example, the SR rate for 2011 looks at data from 2010 and also 2011.

What is being calculated

The report is grouped by qualification level groups. The SR rate is calculated by calculating a numerator value and a denominator value. The numerator is divided by the denominator to obtain the SR rate. The definitions below assume that the return year is 2011.

- Numerator – this is a count of students who were enrolled in 2010 and who either re-enrolled in 2011, completed their qualification in 2010 or who completed their qualification in

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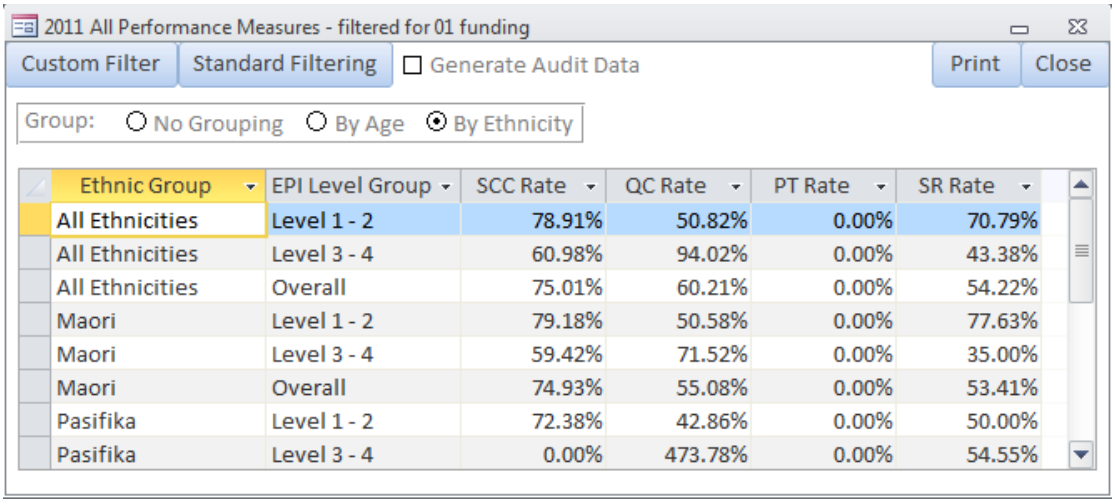
2011.

- Denominator – this is a count of students who had at least one course enrolment that was in part or in whole in 2010.

Note – it is students being counted here, not EFTS.

Combined Report

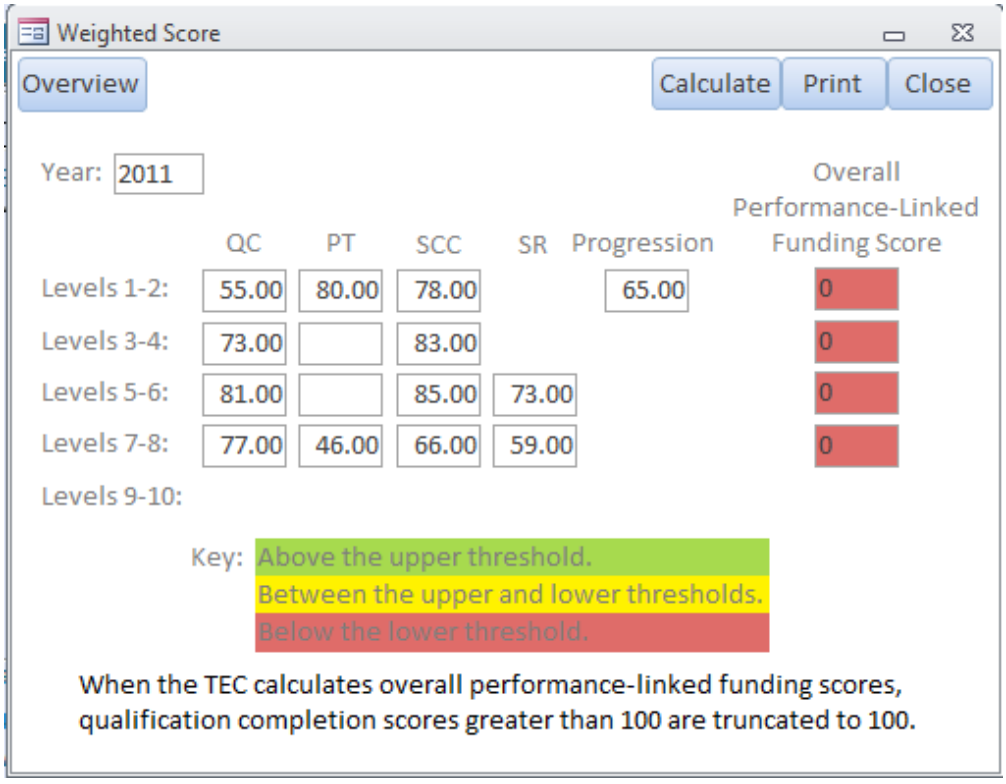
The combined report produces the same results as the three separate EPI reports however it brings them all together in a single table and also provides you with the option of adding an extra grouping to the table by for ethnicity or age.



Ethnic Group	EPI Level Group	SCC Rate	QC Rate	PT Rate	SR Rate
All Ethnicities	Level 1 - 2	78.91%	50.82%	0.00%	70.79%
All Ethnicities	Level 3 - 4	60.98%	94.02%	0.00%	43.38%
All Ethnicities	Overall	75.01%	60.21%	0.00%	54.22%
Maori	Level 1 - 2	79.18%	50.58%	0.00%	77.63%
Maori	Level 3 - 4	59.42%	71.52%	0.00%	35.00%
Maori	Overall	74.93%	55.08%	0.00%	53.41%
Pasifika	Level 1 - 2	72.38%	42.86%	0.00%	50.00%
Pasifika	Level 3 - 4	0.00%	473.78%	0.00%	54.55%

Weighted performance score calculator

The weighted performance score calculator allows you to enter EPI data calculated by the above reports and, from this data plus variables set by TEC (see above) the calculator works out your weighted performance score for a given year.



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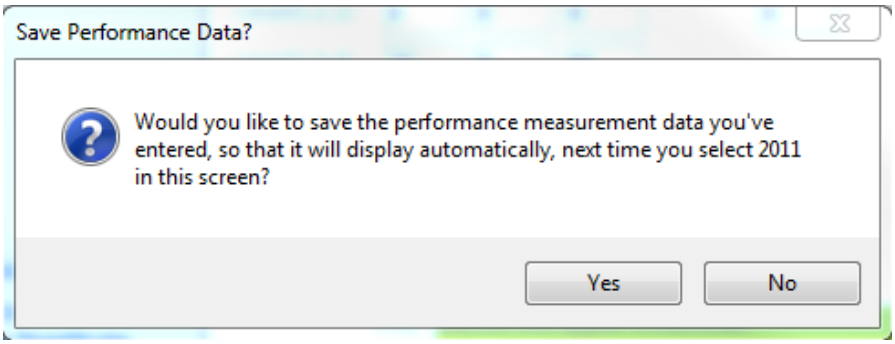
Using the calculator

Click *Tools* on the *Main Menu* and then *Weighted Score.*

Enter a year and, if values have already been entered and saved for the year, they will display, otherwise all fields will be blank. Change or enter values for the year in question and then click *Calculate*.

You will see the following prompt.


Save Performance Data?
Would you like to save the performance measurement data you've entered, so that it will display automatically, next time you select 2011 in this screen?
Yes
No

This allows you to save the values you have entered, plus the calculated score. Note – doing so will overwrite any existing values stored for the year.

What is being calculated

The calculator in Hermes version 1 uses the logic and formula on TEC's web site.

http://www.tec.govt.nz/Funding/Policies-and-processes/Performance-linked-funding/Details-for-TEOs/#thresholds

TEC publishes individual EPI as percentage values with no decimal places and the weighted score as a numeric value between 0 and 10, shown with one decimal place.

Given the potential effect on funding we are showing EPI percentages to two decimal places and the calculator uses these values to determine the weighted score which is then rounded to one decimal place.

Note: TEC has specified that the maximum qualification completion score to be used in the formula is 100% and this is what Hermes does.

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TESTING DATA ACCURACY FILES

CSV files

TEC makes a number of files available on the TEC Workspace that relate to a given year's EPI calculation for a specified funding source. A list of these files is shown below.

File	Type	Comment
TEC-009999-2012-I001-Successful_Course_Completion-20130517_open.xlsx	xlsx	Does not identify student
TEC-009999-2012-I002-Qualification_Completion-20130517_open.xlsx	xlsx	Does not identify student
TEC-009999-2012-I003-Student_Progression-20130517_open.xlsx	xlsx	Does not identify student
TEC-009999-2012-I004-Student_Retention-20130517_open.xlsx	xlsx	Does not identify student
TEC-009999-2012-I005-Student_Course_Completion_Data-20130517_open.csv	csv	Identifies student
TEC-009999-2012-I006-Student_Qualification_Completion_Data-20130517_open.csv	csv	Identifies student
TEC-009999-2012-I007-Participation-20130517_open.xlsx	xlsx	Identifies student
TEC-009999-2012-I008-Student_Course_Enrolment_Data-20130517_open.csv	csv	Identifies student

Those files shown as not identifying students provide summary information and some detailed records but do not, however, identify individual students. The other four files do identify individual students. Three are CSV files and one is an XLSX file. The one XLSX also provides a summary.

The three CSV files are most important because they contain the raw data from which TEC calculates your EPI values.

Why match?

You supply TEC with SDR files. TEC takes the data from the files and puts it through a "black box" which ostensibly selects the correct records for calculating EPI rates for a given funding source.

We say "ostensibly" because for the 2013 year we have seen the black box break down, resulting in TEC incorporating invalid data in the CSV files.[4] There is evidence that similar problems have arisen in previous years.

The Hermes matching process tests what has come out of TEC's black box against what went in; the SDR files you uploaded. It can therefore identify if the black box is functioning correctly.

Importing the files

Download the four files listed above as "Identifies student" which relate to the funding source you are interested in, and store them in a folder without changing the file names. Click *Manage TEC Files* on the *File Processing* menu, enter the year, click *Check In* and select the file in the folder that contains "TEC" and "Course_Enrolment" in its name. For example "TEC-009231-2013-I008-Student_Course_Enrolment_Data-20140410_open.csv". Click *Open*. Once you have done this all four files will be imported.

Note – Hermes actually copies each file and re-names it prior to importing. So, when the import is complete there will 8 files in the folder. You can delete the copies, which have a shorter name if you wish, however you may find them useful for your own purposes because they can be opened by Microsoft Access as well as Excel.

If you have already imported a set of files you **must** check these out before re-importing another set for the same year or a different

[4] See Appendix D for copies of TEC's notifications.

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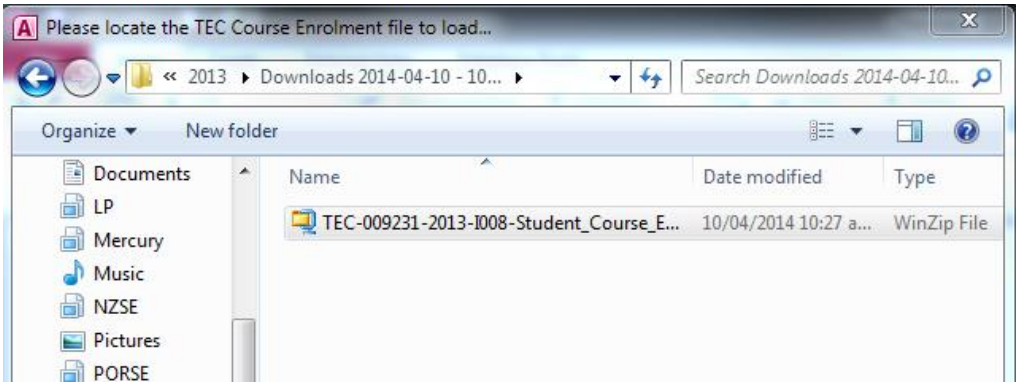
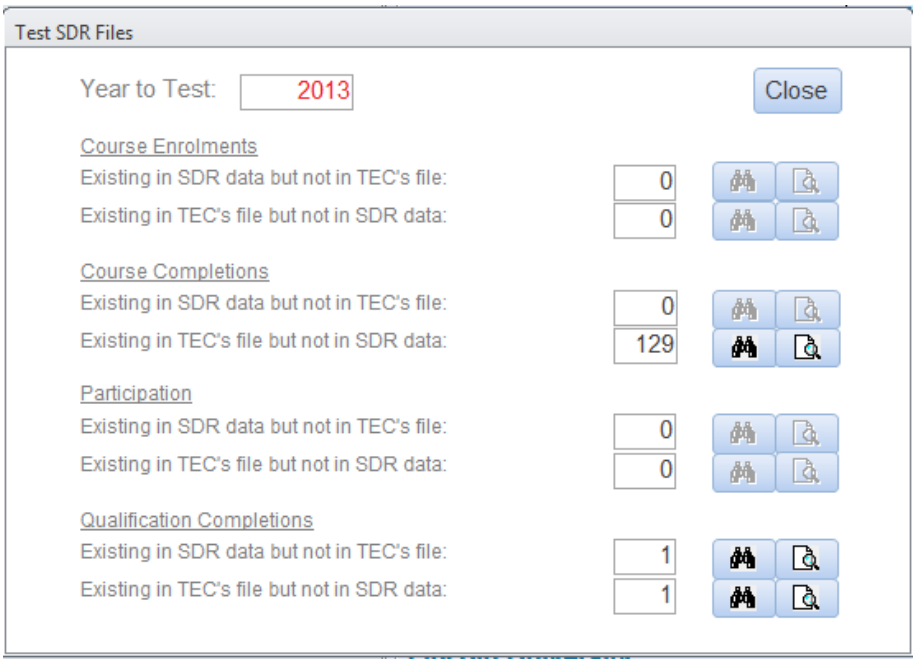
year.



Testing the files

Click *Test TEC Files* on the *File Processing* menu.

Hermes will match the two sets of data: data from your SDR files and TEC's data accuracy files.


Test SDR Files
Year to Test: 2013
Close
Course Enrolments
Existing in SDR data but not in TEC's file: 0
Existing in TEC's file but not in SDR data: 0
Course Completions
Existing in SDR data but not in TEC's file: 0
Existing in TEC's file but not in SDR data: 129
Participation
Existing in SDR data but not in TEC's file: 0
Existing in TEC's file but not in SDR data: 0
Qualification Completions
Existing in SDR data but not in TEC's file: 1
Existing in TEC's file but not in SDR data: 1

Test results

Ideally you should see a zero for each matched pair of files, as is shown for Course Enrolments and Participation in the screenshot above.

However if you see numbers in either or both of the matched pair you will know that the black box has broken down.

The testing that Hermes does is twofold:

- It checks the number of records in each source.
- It then checks certain key fields against each other in the records in each source. See below for a list of key fields.

Here are the possible outcomes.

a) A zero in one of the matched pair and a positive number in the other means all the records in the zero file are matched on key fields against the records in the non-zero file, but that there

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additional records in the non-zero file. In the example above there are 129 records in the TEC Course Completion file which simply don't exist in the SDR file.

b) If there are equal numbers for a matched pair – as there are for the Qualification Completion file – it means that there are the same number of records in both files but that there is a mismatch on one of more of the key fields.

c) If there are unequal non-zero numbers for a matched pair, you have a combination of mismatched key fields and additional records in one or other of the two files. You have some investigation to do!

Key fields

The key fields on which Hermes matches are shown below.

Course enrolments

- NSN
- Course Code
- Start Date

Course completions

- NSN
- Course Code
- Start Date
- EFTS – note that the SDR course completion file does not contain an EFTS value and so Hermes looks it up from the related course enrolment file records. The EFTS is the total EFTS for the course enrolment.

Qualification Completions

- NSN
- Qualification
- Year Requirements Met

Participation

- NSN
- Course Code
- Start Date
- Funding Source[5]
- EFTS. The EFTS is that portion of the total EFTS for the course enrolment record that falls in the return year.

View mismatches

If you click the binoculars icon adjacent to a mismatch count you will open a datasheet listing the records. Clicking the magnifying icon will print a report with all the detail for each record.

Where the mismatch is one-to-one you will need to examine the key fields in both records.

Remember that you can always view the raw CSV files from TEC or

[5] TEC use funding source descriptions in its data accuracy files, rather than codes, and is wildly inconsistent in the descriptions it uses. For example, across the various files the following descriptions are used: "Student Achievement Component Funding", "Student Component Funding" and "UTTA Funded". We do our best to match but there is every chance that TEC will changes the descriptions quite arbitrarily. Let us know if you think that has happened.

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	the short-name CSV files created by Hermes when importing the TEC files.
NSN Merges	Sometime when you have a one-to-one mismatch it is because TEC – bless them – have used a merged NSN in the data accuracy report whereas you submitted the master NSN in the SDR.

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GETTING HELP

Take2 users	If you use Take2 your Take2 annual support service will cover using Hermes.
Non-Take2 users	If you do not use Take2 you may still access the Meta Office Help Desk (see contact details below). If your query relates to using Hermes or interpreting the reports used by Hermes we will charge an hourly rate of $45 per 30 minutes or part thereof for providing telephone and remote access support. If your query arises because of problem with the function of Hermes there will of course be no charge providing it has been correctly installed.
Contact details	Meta Office Help Desk Phone 04 939-1267 Email Helpdesk@meta-office.com

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APPENDIX A - COLUMN LABELS

Column Label	Description
ASSIST	Category of Fees Assessment for International Students
ATTEND	Intramural/Extramural Attendance
CATEGORY	Funding Category
CCCOSTS Fee	Compulsory Course Costs Fee
CITIZEN	Country of Citizenship
CLASS	Course Classification
COMPLETE	Student Course Completion indicator
COURSE	Course Code
CREDIT	Credit
CRS_END	Course End Date
CRS_SITE	Course Delivery Site
CRS_SRT	Course Start Date
CRS_WTD	Student's Course Withdrawal Date
CTITLE	Course Title
DIS_ACCESS	Disability Services Accessed Indicator
DISABILITY	Disability Indicator
DOB	Date of Birth
EFTS_MTH	EFTS by Month – in Hermes this field is replaced by 12 individual fields, each reporting the EFTS for a single month.
EMB_LIT_NUM	Embedded Literacy and Numeracy Flag
ETHNIC	Ethnicity
EXEMPT	Course Exemption from AMFM
FACTOR	Course EFTS Factor
FEE	Course Tuition Fee
FINISH	Expectation to Complete a Qualification this year
FIRST_YR	First Year of Formal Tertiary Education
FOREIGN_FEE	Tuition fee paid by Foreign fee-paying student
FUNDING	Source of Funding
GENDER	Gender
ID	Student Identification Code
INSTIT	Provider Code
INTERNET	Internet Based Learning Indicator
IRDNOS	IRD Number
IWI	Iwi Affiliation
MAIN_1	Main Subject 1
MAIN_2	Main Subject 2
MAIN_3	Main Subject 3
MAX_Exempt_Fee	Maxima Exempt Fees
NAMEID	Name ID Code
NSN	National Student Number
NZQFLEVEL	Level on the NZ Qualifications Framework

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NZSCED	NZSCED Field of Study
PBRF Eligible	PBRF Eligible Course Indicator
PBRF_CRS_COMP_YR	PBRF Course Completion Year
PERM_POST_CODE	Permanent Post Code
PRIOR_A	Main Activity at 1 October in Year Prior to Formal Enrolment
QUAL	Qualification Code
RESIDENCY	Residential Status
S_SCHOOL	Last Secondary School Attended
SEC_QUAL	Highest Secondary School Qualification
STAGE	Stage of Pre-Service Teacher Education Qualification
TERM_POST_CODE	Term Post Code
Y_SCHOOL	Last Year at Secondary School
YR_REQ_MET	Year Requirements Met

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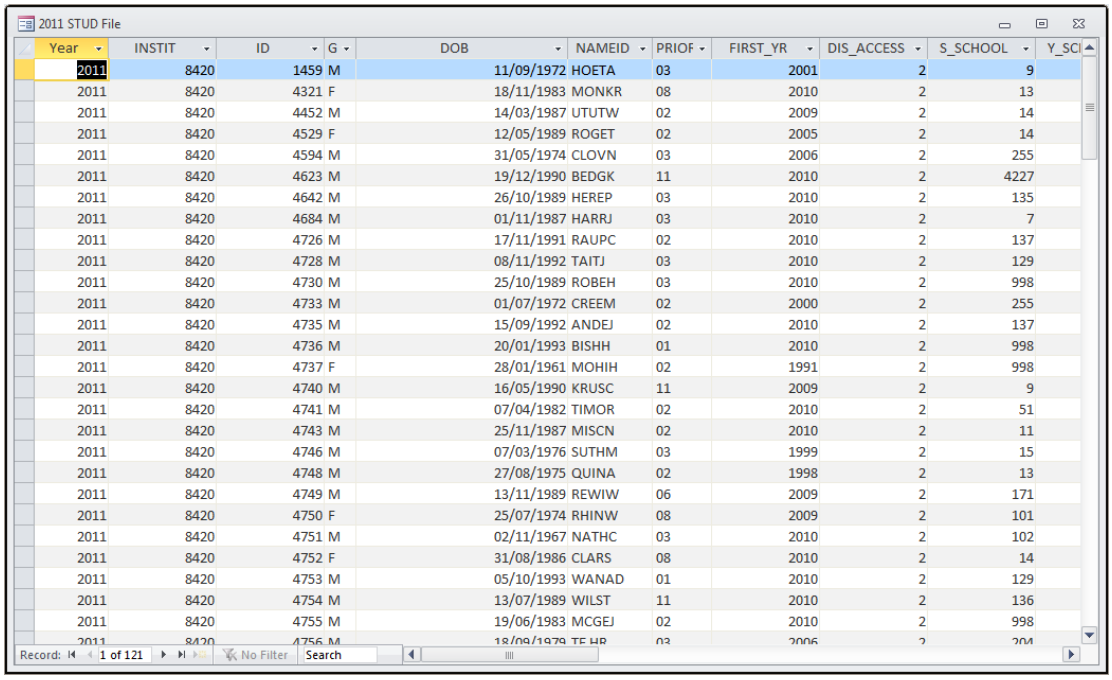
APPENDIX B – MICROSOFT ACCESS TOOLS

Version of Access

There are various versions of Microsoft Access. All provide the following tools however the method of using the tools differs slightly from version to version. The description below is for Access 2010.

Datasheets

When you view SDR Files or Review Raw Data you open a "Datasheet". Datasheets are a bit like a table in Excel and you can have some fun with them.



In addition to moving around by using the scroll bars the navigation buttons you can search, sort, and filter records.

- Ctrl + F will open a *Find* dialogue box or you can use the *Selection* menu item.
- The *Selection* menu item provides a filtering mechanism that filters against the value in the field where the cursor is placed. Alternatively you can use the little drop down arrow to the right of the field name to filter but with more options. The *Filter* icon works in the same way.
- That arrow also provide sorting options or you can use the other sorting menu items.

Column labels

When you view datasheets you will see that all the columns are labelled. The first column is called "Year" and this contains a value to show what SDR year the record belongs to. Hermes inserts the value at the time that the records are checked in.

All the other columns (apart from the EFTS fields in the Course Enrolment file) have labels that the same as those used by the Ministry of Education in the SDR Manual. So, for example, "S_SCHOOL" is used in the Student record and means "Secondary School".

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You can find a complete list of column labels and a “plain English” translation in the Appendix to this manual.

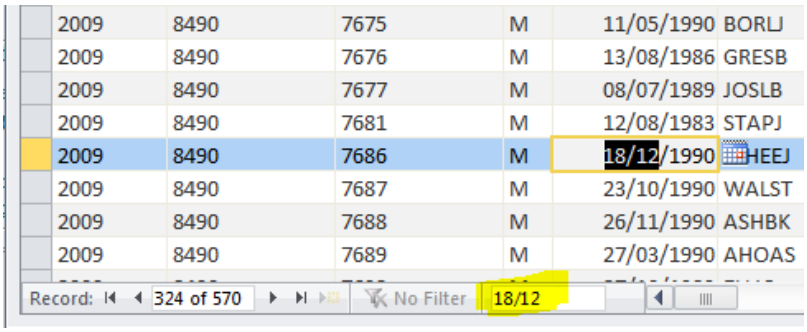
The SDR Course Enrolment file stores EFTS values in a single field called “EFTS_MTH”. Hermes breaks the months out into field labelled “JAN” through to “DEC”.

Note – SDR files can contain “removed columns” which contain no data. These are columns that used to be used to collect data which is no longer required by the Ministry of TEC. For example, in the Student file there is a removed column between DOB and NAMEID fields. This field used to be utilised to collect two digit ethnicity codes. When the Ministry switched to using three digit ethnicity codes it became a “removed column”.

These columns have a heading starting with “Blank”.

Search

If you want to search for a particular value – for example the date “18/12/1987” – simply start typing the value in the search field at the bottom of the datasheet.



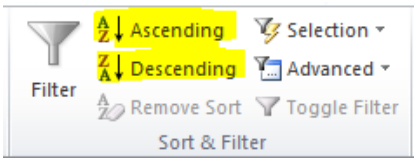
Once a matching value has been found it will be highlighted. Sometimes you may need to type only the start of a value, sometimes you may have to type the whole value.

If the value exists more than once in the datasheet you can use the “Enter” key on your keyboard to move to the next instance.

Sorting

You can sort records by the values in a particular field by placing your cursor in this field for any record and using the *Ascending* or *Descending* menu items.

Use *Remove Sort* to put the records back into their original order.



Sorting in ascending order is a good way of discovering missing data because any record without, say, a date of birth, will be at the top of the list of records if you sort ascending on that field

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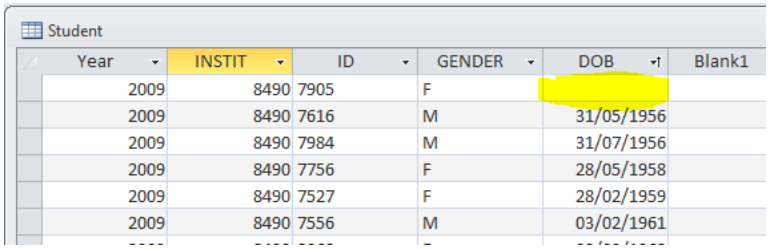
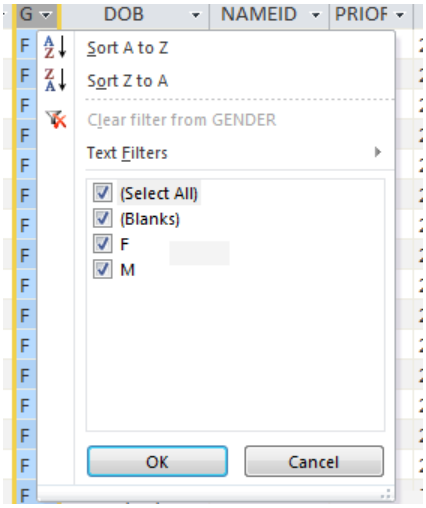


Filtering

Filtering is a way of selecting and displaying on the datasheet only records that meet certain criteria. There are some quite sophisticated ways of filtering which you can learn about at this Microsoft webpage.

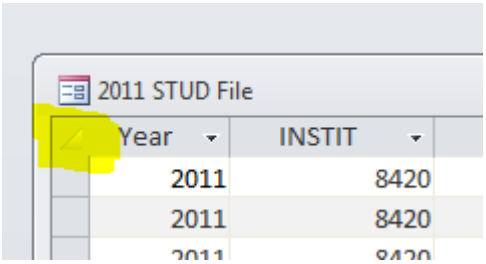
To get you started you can use the *Filter* function adjacent to the two sorting options. So, for example, if you wanted to just find females you would place you cursor in the *Gender* field, click the *Filter* symbol, untick *Select All* and then tick "F".



You can remove the filter by clicking *Toggle* filter.

Copying data

You can copy data from the datasheet by selecting specific rows or columns or by selecting the whole datasheet by clicking in the top left corner. Then use Ctrl + C or click the *Copy* icon. Once copied you can paste the data into Excel or Word or, indeed, into other locations.



Send to Excel

Note, however, there is a *Send to Excel* button on the *View SDR Files* form for each SDR file.

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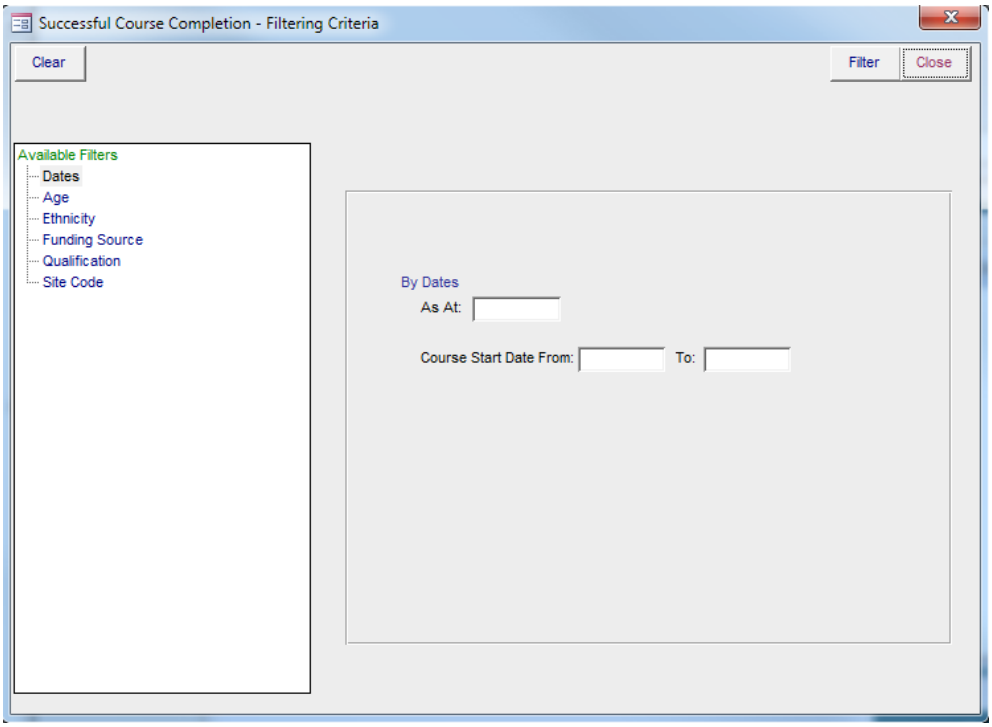
APPENDIX C – REPORT FILTERS

Criteria

When you click *Custom Filter* a new form is displayed where you can specify criteria which will constrain the data used for the report.



Selecting criteria

The tree on the left hand side of the screen lists all of the criteria which you can define. Currently this is limited in Hermes to funding source and site code. Selecting an item from this list will display a view on the right hand side of the screen where you can define criteria. You can use one or more criteria – this means you can filter by both funding source and site code if you wish.

The current criteria take the form of list boxes where you can select one or more items, either by clicking on them in the list box itself, or singularly by using the *Single Select* option. If you select no entries in a list box then Hermes assumes that all are selected.

You can clear any selections you have made with the *Clear* button at the top of the screen.

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APPENDIX D – TEC CORRESPONDENCE

2013 EPI Data issues

The following communications relating to TEC's data quality issues relate to the 2013 data and are up-to-date as at 10 April 2014.

Data issue on Workspace

14 March 2014

We have experienced an issue with data at SAC levels 3 and above, which we recently uploaded to Workspace as interim data for PTEs to view their own performance.

As a result of the issue, the course completion and qualification completion data for some PTEs is incorrect. The other educational performance indicators are correct.
We have identified the fix to this problem. We will re-upload all PTEs' educational performance indicator data next Tuesday 18 March 2014.

We are not using this data for any funding or other decisions. It is simply for PTEs' information.

We apologise for the inconvenience.

Should you have any questions, please contact the Service Centre on 0800 601 301 .

Last changed: **14 March 2014**

Publication of 2013 performance indicators - data issue

17 March 2014

As part of the annual process to publish tertiary education providers' educational performance indicators on the TEC website, we have been uploading monthly the latest data for these indicators in 'Analyse My Performance' on providers' Workspaces.

We would like to advise we are unable to publish 'Analyse My Performance' files to your Workspaces on Tuesday 18 March as planned. At this stage we have outstanding data quality anomalies that we need to resolve and we are working to do so as quickly as possible.

We anticipate being able to publish the 'Analyse My Performance' files by the next planned date of Tuesday 15 April.

We sincerely apologise for any inconvenience.

Last changed: **17 March 2014**

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TECNOW

Tertiary Education Commission
Te Amorangi Mātauranga Matua

2013 performance indicator data is now available

28 March 2014

Updated 2013 educational performance information is now available in 'Analyse my Performance' on Workspace. The information has been temporarily unavailable since Monday 24 March while a potential data quality issue affecting a number of private training establishments was investigated. Data quality is now assured.

Please note that only 2013 files have been refreshed at this time with a full refresh for previous years planned to be available on Tuesday 1 April 2014.

Also please note, if you have had an allocation for either the new SAC level 1 and 2 funds (25 and 26) or Youth Guarantee (22) in 2013, the enrolments from these funds is not yet included the 'Analyse my Performance' reports on Workspace. Full reports including these funds will be provided in May 2014.

Tertiary Education Commission
Level 10, 44 The Terrace
PO Box 27-048
Wellington 6011
Phone: 04-462 5200 | Fax: 0-4-462 5400
Freephone: 0800 601 301
Website: www.tec.govt.nz

From: Competitiv[redacted]
Sent: Wednesday, 9 April 2014 3:53 p.m.
To: 'competitv[redacted]
Subject: Incorrect performance information

Dear TEO,

The TEC has identified that some information in your organisation's SAC and Youth Guarantee performance report, loaded into your workspace on Friday, is incorrect. The problem effected a small number of TEOs and led to reports including incorrect interim 2013 course completion results.

The error has been fixed and your organisation will be provided with a correct report today. The incorrect SAC and Youth Guarantee performance report in your workspace will have blank pages inserted so it can be identified.

We apologise for any inconvenience this may have caused. If you have any further concerns about the data in your new report, please get in touch by replying to this email.

Kind regards
[redacted]

[redacted]
Operations Directorate
Tertiary Education Commission Te Amorangi Mātauranga Matua
:: PO Box 27 048 Wellington
:: www.tec.govt.nz

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APPENDIX E – LINCOLN IMPORT MANAGEMENT

The problem

In Hermes we need to have every record in the STUD, COUR, COMP, and QUAL files have a consistent identifier (ID) for a given student. This is because we need to match records from different years in order to determine the total EFTS counts used in both QC and SCC rates and for matching qualification completion records to course enrolment records.

For Lincoln, because SDR records are sourced from two SMS, each with its own student ID numbering sequence, this has proved problematic.

There are two issues:

- Where an NSN has been merged. We cannot then rely on counting/matching records in Hermes on the basis of NSN because the same individual may have, say, one NSN in 2013 and a different one in 2014.
- With the Consolidation Module (used to amalgamate two sets of SDR files from Telford and Lincoln) when we are assigning an ID to SDR records we look at the site code in the course enrolment records for a student. We then choose the lowest site code and use the ID from this record. As 01 is the Lincoln main campus and 20 is the Telford campus this would mean that generally the student would end up with an "L" ID where they are enrolled at both. However this becomes a problem when, say, the student re-enrolled at Telford the following year.

The solution

The import process has been modified to add a step whereby IDs in the SDR files are matched to existing records in Hermes. Where no match is found on ID, a match on NSN is attempted.

If no match is possible with ID or NSN a new record is written to a table called ID_XRef_7006. The table contains two fields:

- ImportID – the ID in the SDR file.
- StoredID – the ID that is stored and used in Hermes.

The first record written into the new table for a student will have the same value in both fields.

If SDR data is imported for the same student and no match can be found on the StoredID but a match can be found on NSN, then a new record is added to ID_XRef_7006. The new record will have a different ImportID value but the original StoredID value.

StoredID	ImportID	Year	File	Source
199089469	199089469	2013	COMP	Telford Import
199089469	199089469	2013	COUR	Telford Import
199089469	199089469	2013	STUD	Telford Import
199089469	1079743	2013	COMP	Lincoln Import
199089469	1079743	2013	QUAL	Lincoln Import
199089469	L1079743	2014	QUAL	Lincoln Import

In the above example the 2013 SDR file contained a student who had

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enrolled at both Lincoln and Telford. The 2013 SDR file was created without using the SDR consolidation module and so the IDs were both integer values.

The Telford data was imported first and there were records in the COMP, COUR, and STUD files. The Telford ID was therefore recorded as both the StoredID and ImportID.

The Lincoln records related to a QUAL and COMP completion. A new record was added to the ID_XRef_7006 table where the StoredID is the original Telford ID and the Lincoln ID is recorded as the ImportID.

When the 2014 SDR is imported there is another Lincoln QUAL record for the same student, however in this year the SDR consolidation module was used and so the ID is prefixed with "L". However, the match is made on the NSN and a new record is added to ID_XRef_7006 with the new ID as the ImportID, but with the original Telford ID as the storedID.

The ID_XRef_7006 table now has three records.

ImportID	StoredID
199089469	199089469
1079743	199089469
L1079743	199089469

Duplicate student records

It is possible in rare circumstances that two records for the same student are included in the SDR student file. Hermes will delete one of the two records as part of the checking in process.

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